



**STATE OF ARIZONA**  
**DIVISION OF EMERGENCY**  
**MANAGEMENT**



**RECOVERY SECTION**

**STANDARD OPERATING PROCEDURES**

**PUBLIC ASSISTANCE PROGRAM**

**SECTION 7**

**KICKOFF MEETING**

Rev 5/08



# **STATE OF ARIZONA DIVISION OF EMERGENCY MANAGEMENT PUBLIC ASSISTANCE PROGRAM**



## **STANDARD OPERATING PROCEDURES**

### **KICKOFF MEETING**

#### **I. OVERVIEW**

The kickoff meeting is a one on one meeting between the applicant and the Public Assistance Coordinator (PAC) assigned to the applicant. The PAC assigned will work with and assist the applicant throughout the Public Assistance Process. The kickoff meeting allows the applicant and the PAC to become acquainted and affords the PAC the initial opportunity to provide the applicant with information necessary to "kickoff" the Public Assistance process for the applicant.

At this meeting, the applicant's individual needs are assessed, damages discussed and a plan of action to repair the damaged facilities put in place. The PAC will discuss with the applicant what will be expected and provide detailed instructions on what the applicant needs to do.

The applicant has the opportunity to have any questions or concerns answered about how the Public Assistance process works and his/her role in it. The PAC explains procedures for determining eligibility, project formulation, cost estimating and validation. The PAC also explains to the applicant Special Consideration review and the appeal and audit processes. The PAC reviews the applicant's prepared list of damages to help the applicant determine what technical assistance may be needed or if there are any opportunities to apply 406 mitigation to any projects. Documentation and reporting requirements are also discussed.

#### **Tools necessary for the Kickoff Meeting**

##### **For use by PAC:**

- PAC Kickoff Meeting Job Aid (Appendix A)
- Disaster Fact Sheet obtained from Public Assistance Officer (PAO).
- Applicant's completed Request for Public Assistance form (AZ PA 204-3)
- Preliminary Damage Assessment (PDA) information
- Eligibility Job Aid (Appendix E)
- Special Considerations Questions (AZ PA 204-6, Appendix B)
- Any additional information related to applicant obtained from PAO

**Handouts for applicant:**

- Project Formulation Job Aid (Appendix C)
- Blank Project Work Sheets (Appendix D)
- Sample Project Work Sheet
- Current Cost Code Listing
- Applicant Record Keeping Forms and Instructions (*AZ PA 204-7 and 204-8*)
- Public Assistance Guide (FEMA 322)
- Public Assistance Policy Digest (FEMA 321)
- Arizona Administrative Code, Title 8

**Who schedules the meeting?**

The PAC schedules the Kickoff Meeting.

**When is the meeting held?**

The Kickoff Meeting is scheduled to be held as soon as is practicable following the Applicants Briefing.

**Who should attend?**

Who should attend the Kickoff Meeting is a key decision that will affect the applicant's getting off to a good start as they begin making their way into the recovery process. It is vital to the applicant's successful outcome that key players attend this kickoff meeting. It is recommended that the applicant have the following participants attend the kickoff meeting:

- Designated Applicant Agent
- Emergency Management Director/Coordinator
- Finance Manager
- Payroll Department
- Individuals from affected departments who will be responsible for:
  - Identifying Damages
  - Performing repairs to damaged facilities
  - Identifying Environmental Issues including codes and required permits
  - Identifying historical sites

A Kickoff Meeting Flowchart is attached as Appendix F.

## **II. THE PROCESS**

### **Preparing for the meeting**

The PAC will contact the applicant following the applicant briefing to schedule a time and place for the kickoff meeting. The PAC assesses the applicant's level of understanding of the PA Process and discusses how the applicant should prepare for the meeting and who should attend. The applicant is advised to bring a list of all damages and any insurance policies on damaged facilities.

### **During the meeting**

- The PAC explains his/her role in the applicant's recovery process.
- The PAC explains the applicant's role in the recovery process.
- Emergency and permanent work eligibility criteria are discussed as well as documentation requirements and record keeping procedures that are to be followed.
- Project work completion deadlines are reviewed with the applicant and an explanation of how additional time extensions can be requested.
- The applicant is asked to assist in the identification of circumstances that require special review, i.e., insurance coverage, environmental and historic consideration as well as opportunities for 406 hazard mitigation on all the sites included in the applicant's list of damages.
- The validation process is explained by the PAC.
- The right to appeal is discussed and guidelines are provided. It should be pointed out to the applicant that regular consultation with the PAC and the ADEM Recovery office reduces the need for appeals.
- Audit requirement is discussed and applicant is briefed on the applicable time limits for maintenance of the project documentation.
- It should be emphasized that all applicable documentation should be maintained in folders by project.
- Key points are summarized by the PAC and the next steps presented.
- Following the meeting the PAC updates the Case Management File with information obtained during the meeting.

## **III. ROLES and RESPONSIBILITIES**

The role and responsibilities for the PAC and Applicant are as follows:

### **Public Assistance Coordinator (PAC)**

- Provide customer service to applicant through direct communication and regular meetings.
- Assist the applicant in establishing a project formulation plan.

- Set goals and objectives for completion of Project Worksheets (PWs).
- Ensure PWs are completed within the regulatory timeframe.
- Assist the applicant in determining priority of projects.
- Define that as the PAC you are responsible for writing the project worksheets however this cannot be accomplished without the applicant's active participation.
- Review PWs for completeness, quality, eligibility and special considerations with the applicant.
- Obtain the applicant's concurrence on the final draft prior to submitting to PAC for processing and approval.
- Document and maintain a case management file/log for each applicant.

#### Applicant

- Identifies all key players that need to participate in the recovery process.
- Is actively involved in the process and maintains communication with the PAC.
- Identifies all projects and any potential special consideration issues.
- Submits all required forms and documentation.
- Maintains all supporting documentation.

#### **IV. KICKOFF MEETING CHECK LIST**

It is strongly recommended that PACs use this checklist while preparing for, and during, the kickoff meeting.

##### **Preparation for the meeting:**

- \_\_\_ Compile information and documents concerning the applicant and tools to be used at the meeting. (Don't forget Sign-in sheet)
- \_\_\_ Review all available information. Review the *PAC Kickoff Meeting Job Aid (Appendix A)*
- \_\_\_ Arrange a mutually agreeable date, time and location for the meeting. During the call with the applicant, assess his/her knowledge about the Public Assistance process and gather additional information to help shape the agenda for the Kickoff Meeting.
- \_\_\_ Request that the applicant develop a list of all damages and any photographs of damage locations for the Kickoff Meeting. (Note: Photos should be JPEG format).

- \_\_\_ If the applicant submitted an incomplete *Request for Public Assistance* form ask the applicant to provide the required information when contacted about the Kickoff Meeting.
- \_\_\_ Provide the applicant with all contact information (e-mail address, phone, FAX and cell phone numbers) to facilitate communication.

**At the meeting:**

- \_\_\_ Ask everyone to introduce themselves and make notes of all the names and titles for the Case Management File (ask for business cards and be prepared to produce yours in exchange). Be sure to provide a sign-in sheet for documentation for the Applicant file.
- \_\_\_ Follow the steps in the *PAC Kickoff Meeting Job Aid* to insure all topics have been covered.
- \_\_\_ When illustrating how to prepare detailed descriptions and summaries of repair projects, ask the applicant for the projected number of small and large projects, if available, and the estimated cost for each. Input this information into the Case Management File following the Kickoff Meeting. In order to facilitate communication electronic transmission in WORD and EXCEL is strongly recommended.
- \_\_\_ When all action items listed in the job aid are completed, ask if the applicant has questions before adjourning the meeting.
- \_\_\_ Complete the Initial Project Projection Form, provide copy to applicant, retain copy for PAC applicant information, provide original to PAO.  
(Copy attached – form can be found at: I:\Recovery\PA Branch\FORMS\ADEM Forms\Initial Project Projection Form.xls)

# INITIAL PROJECT PROJECTION

Form to be completed at Kickoff Meeting

DISASTER NAME:

DISASTER NUMBER:

APPLICANT NAME:

ADDRESS:

CITY/STATE/ZIP:

PRIMARY CONTACT:

NAME:

SECONDARY CONTACT:

PHONE NUMBER:

CELL NUMBER:

FAX NUMBER:

E-MAIL ADDRESS:

ESTIMATED PWS:

ESTIMATED # SMALL:

EST\$

ESTIMATED # LARGE:

EST\$

PW TOTAL:

EST\$

APP BRIEFING DATE:

KICK OFF MEETING DATE:

PAC CONTACT INFO:

COMMENTS:

## APPENDIX A

### Public Assistance Coordinator Kickoff Meeting Job Aid

**Instructions:** This document is designed to assist the Public Assistance Coordinator (PAC) in executing a successful Kickoff Meeting with the applicant.

Action	Steps	Details
Preparation for applicant Kickoff Meeting	<ul style="list-style-type: none"> <li><input type="checkbox"/> Review PAC material as required prior to meeting.</li> <li><input type="checkbox"/> The PAC should have information and documents concerning the applicant.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Disaster Fact Sheet</li> <li><input type="checkbox"/> Applicant's Request for Public Assistance</li> <li><input type="checkbox"/> PDA information</li> <li><input type="checkbox"/> PAC Kickoff Meeting Job Aid (Appendix A)</li> <li><input type="checkbox"/> Special Considerations Questions (Appendix B)</li> <li><input type="checkbox"/> Project Formulation Job Aid (Appendix C)</li> <li><input type="checkbox"/> Blank Project Worksheet (Appendix D)</li> <li><input type="checkbox"/> Eligibility Job Aid (Appendix E)</li> <li><input type="checkbox"/> Public Assistance Guide (FEMA 322)</li> <li><input type="checkbox"/> Public Assistance Policy Digest (FEMA 321)</li> <li><input type="checkbox"/> Arizona Administrative Code, Title 8</li> <li><input type="checkbox"/> Current FEMA Cost Code Listing</li> <li><input type="checkbox"/> Applicant Record Keeping Forms and Instructions (AZ PA 204-7 &amp; 204-8)</li> <li><input type="checkbox"/> Any other ADEM Forms and Instructions that would be helpful to you and/or the applicant.</li> </ul>
Initial Contact with the applicant	<ul style="list-style-type: none"> <li><input type="checkbox"/> Make telephone contact with applicant.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Introduce yourself.</li> <li><input type="checkbox"/> Did applicant attend Applicant Briefing?</li> <li><input type="checkbox"/> Have you ever participated in a declared event?</li> <li><input type="checkbox"/> Inquire about damage not seen in PDA.</li> <li><input type="checkbox"/> Inquire about Special Considerations issues.</li> <li><input type="checkbox"/> Review what will be covered at Kickoff Meeting.</li> <li><input type="checkbox"/> Set up initial meeting arrangements.</li> <li><input type="checkbox"/> Have applicant prepare a list of damages to bring to the meeting.</li> <li><input type="checkbox"/> Identify who should attend and what applicant will need to bring to Kickoff Meeting</li> </ul>



Action	Steps	Details
Kickoff Meeting	<input type="checkbox"/> General Introductions <input type="checkbox"/> Explain roles and responsibilities of the PAC	<input type="checkbox"/> Allow everyone to introduce themselves <input type="checkbox"/> The PAC is the primary representative who maintains contact with the applicant.  <input type="checkbox"/> Provides an individual focus on an applicant's specific needs. <input type="checkbox"/> Will provide increased opportunities for a "one-stop" source of information for the applicant. <input type="checkbox"/> PAC to provide customer service to applicants through direct communication and regular meetings. <input type="checkbox"/> Assist the applicant in establishing a project formulation plan. <input type="checkbox"/> Set goals and objectives for completion of Project Worksheets (PWs) <input type="checkbox"/> Ensure PWs are completed within the regulatory timeframes. <input type="checkbox"/> Assist the applicant in determining priority of projects. <input type="checkbox"/> Define that as the PAC you are responsible for writing the project worksheets, however this cannot be accomplished without the applicant's active participation.  <input type="checkbox"/> Review PWs for completeness, quality, eligibility and special considerations with the applicant. <input type="checkbox"/> Obtain the applicant's concurrence on the final draft PW prior to submitting to PAO for processing and approval. <input type="checkbox"/> Document and maintain a case management file/log for each applicant.
	<input type="checkbox"/> Explain roles and responsibilities of the Applicant	<input type="checkbox"/> The applicant identifies all key players that need to participate in the recovery process.  <input type="checkbox"/> Is actively involved in the process and maintains communication with the PAC. <input type="checkbox"/> Identifies all projects and any potential special consideration issues. <input type="checkbox"/> Submits all required forms and documentation. <input type="checkbox"/> Maintains all supporting documentation.

Action	Steps	Details
	<input type="checkbox"/> Review project work completion deadlines, time extensions	<input type="checkbox"/> Review applicant's identified list of damages at Kickoff Meeting. <input type="checkbox"/> Obtain projected number and estimated cost for all projects for Case Management File and complete the Initial Project Projection form. <input type="checkbox"/> All damages sustained by the event are to be identified no later than 60 days after the Kickoff Meeting date. <input type="checkbox"/> The Final Project Summary Form will be completed 60 days from date of Kickoff Meeting to document all projects. <input type="checkbox"/> Emergency and Permanent Work completion deadline dates are established by the Recovery Office following the declaration of emergency or disaster. <input type="checkbox"/> A time extension for submittal of <i>Project Worksheets</i> may be approved under extenuating circumstances only. <input type="checkbox"/> The ADEM Recovery Office may grant time extensions for project work completion on a case by case basis.
<a href="http://www.dem.azdema.gov/formspubs.html#recpubs">http://www.dem.azdema.gov/formspubs.html#recpubs</a>	<input type="checkbox"/> Refer to State Web site for Recovery Forms needed.	<input type="checkbox"/> Discuss eligibility criteria for: <ul style="list-style-type: none"> <li>➤ Debris Removal</li> <li>➤ Emergency Protective Measures</li> <li>➤ Permanent Work</li> </ul> <input type="checkbox"/> Contact PAO on any questions re: eligibility.
	<input type="checkbox"/> Refer to Project Worksheet Package of Forms and Instructions	<input type="checkbox"/> Discuss and hand out ADEM's Project Worksheet Package of Forms and Instructions. <input type="checkbox"/> Discuss and hand out Force Account records. <input type="checkbox"/> Discuss back-up information requirements. <input type="checkbox"/> Discuss supporting documentation.
	<input type="checkbox"/> Refer to <i>Special Considerations Questions Form</i>	<input type="checkbox"/> Discuss Special Considerations issues. <ul style="list-style-type: none"> <li>➤ Insurance</li> <li>➤ Flood plain/wetland</li> <li>➤ Pre-disaster condition/improved or alternate project</li> <li>➤ 406 Hazard Mitigation—(Emergency work is not eligible)</li> <li>➤ Historic</li> <li>➤ Environmentally sensitive areas</li> <li>➤ Hazardous materials</li> <li>➤ Controversial issues</li> </ul>

Action	Steps	Details
Applicant Project Formulation	* Refer to Project Formulation Job Aid. Appendix C	<input type="checkbox"/> Damage sites may be formulated into one or many work projects. Project formulation is a management tool, not a funding technique. <input type="checkbox"/> Explain how small emergency work activities may be formulated into one larger project.
Project Worksheets		<input type="checkbox"/> The PAC is responsible for writing the project worksheets. This cannot be accomplished without the applicant's active participation. <input type="checkbox"/> PAC and Applicant will concur on final draft PW prior to submitting to PAO for final review and approval. <input type="checkbox"/> Cost Estimating Format (CEF) tool can be used, where appropriate, to estimate the cost. <input type="checkbox"/> Applicant to maintain a copy of the final approved PW on file for future validation and/or audits. <input type="checkbox"/> Applicant to maintain supporting documents for financial review and audit purposes.
Federal Declaration		<input type="checkbox"/> If the event is a federally declared disaster, PAC will explain the difference between Small and Large Projects.
	<input type="checkbox"/> Scope of Work.	For a complete scope of work the applicant must: <ul style="list-style-type: none"> <li><input type="checkbox"/> Describe the pre-disaster facility, function and location (latitude/longitude)</li> <li><input type="checkbox"/> Describe disaster-related damage to the facility</li> <li><input type="checkbox"/> Describe repairs necessary to repair facility to pre-disaster condition</li> <li><input type="checkbox"/> Describe any Special Considerations</li> <li><input type="checkbox"/> Describe any change in the pre-disaster design of the facility</li> </ul>
	<input type="checkbox"/> Cost Estimation Refer to PA Policy Digest, page 25.	<input type="checkbox"/> Cost estimates can be developed using: <ul style="list-style-type: none"> <li>➤ Contractor contracts</li> <li>➤ Contractor bids</li> <li>➤ Applicant's experience in that particular area of repair work</li> <li>➤ Books such as RS Means</li> <li>➤ FEMA cost codes</li> </ul> <input type="checkbox"/> Inform the applicant that a Specialist can be assigned, if needed, to help applicant with cost estimating.
Project Review/Approval Process		<input type="checkbox"/> All projects go through a review process prior to approval and allocation of funds. <input type="checkbox"/> Project review ensures that: <ul style="list-style-type: none"> <li><input type="checkbox"/> The scope of work is complete, accurate, and eligible for assistance under the program.</li> </ul>

Action		Steps	Details
			<input type="checkbox"/> Cost estimates are reasonable and accurate. <input type="checkbox"/> There are no unanswered questions relating to the project.
Reimbursement of ALL Eligible Projects.			
State Declaration			<input type="checkbox"/> Based on actual eligible (Audited) costs of work completed.
Federal Declaration		Reimbursement is based on Small Project estimates.	<input type="checkbox"/> In a federal declaration, if the applicant incurs a significant cost overrun after completing all small projects, a project reconciliation appeal for additional funds can be made. The request must be submitted within 60 days of completing the final small project.
Federal Declaration		Reimbursement for Large Projects based on Actual Costs	<input type="checkbox"/> Explain that large project work will be formulated based on cost estimates but reimbursable on a dollar-for-dollar basis. Threshold amount separating Large and Small Projects adjusts yearly (Oct. 1).
Review Appeal Process			
State Declaration			<input type="checkbox"/> Applicants may appeal a decision rendered by the Director in accordance with A.A.C. R8-2-320.
Federal Declaration		See PA Policy Digest Pg 8 or PA Guide Pg 112	<input type="checkbox"/> Applicant has the right to appeal any aspect of a small or large project within 60 days from the date on which the proposed settlement is presented.
Discuss State Audit Requirement and Possible Audits by FEMA.		<input type="checkbox"/> Discuss with applicant the audit process.	<input type="checkbox"/> Inform the applicant that under the "Single Audit Act" grant recipients expending \$500,000 or more in Federal funds in a fiscal year are required to perform a single audit. <input type="checkbox"/> As per the Arizona Administrative Code Title 8, Section 316 (R8-2-316) ..."After completion of the final inspection, the Department's chief auditor shall conduct an audit of the applicant's claims." <input type="checkbox"/> Grant recipients are also subject to additional audits by the Arizona Office of the Auditor General.
Federal Declaration		FEMA OIG	<input type="checkbox"/> Grant recipients are also subject to additional audits by the FEMA Office of Inspector General.
Discuss Documentation Retention Requirements			<input type="checkbox"/> Advise the applicant to retain all documentation for 5 years following notification from ADEM that their file has been closed.

Action	Steps	Details
Kickoff Meeting Summary/Conclusion	<input type="checkbox"/> Summarize the Kickoff Meeting with applicant.	<input type="checkbox"/> The PAC is the primary representative for applicant. <input type="checkbox"/> Complete, accurate <i>Project Worksheets</i> must be submitted as soon as possible. <input type="checkbox"/> Complete Initial Project Projection Form <input type="checkbox"/> The applicant should contact the PAC with any concerns and/or questions. <input type="checkbox"/> Good documentation of work completed and cost estimates is very important. <input type="checkbox"/> The PAC will now update CMF with comments and information obtained during meeting as applicable.

## APPENDIX B

# ARIZONA DIVISION OF EMERGENCY MANAGEMENT SPECIAL CONSIDERATIONS QUESTIONS

APPLICANT NAME		PCA NUMBER	PW #
PROJECT NAME		LOCATION	DATE
<b>FORM MUST BE FILLED OUT FOR EACH PROJECT</b>			
<p>1. Does the damaged facility or item of work have insurance and/or is it an insurable risk? (e.g., buildings, equipment, vehicles, etc.)</p> <p><input type="checkbox"/> Yes   <input type="checkbox"/> No   <input type="checkbox"/> Unsure   Comments _____</p> <p>_____</p>			
<p>2. Is the damaged facility located within a floodplain or coastal high hazard area, or does it have an impact on a floodplain or wetland?</p> <p><input type="checkbox"/> Yes   <input type="checkbox"/> No   <input type="checkbox"/> Unsure   Comments _____</p> <p>_____</p>			
<p>3. Will the proposed facility repairs/reconstruction change the pre-disaster condition? (e.g., footprint, material, location, capacity, use or function)</p> <p><input type="checkbox"/> Yes   <input type="checkbox"/> No   <input type="checkbox"/> Unsure   Comments _____</p> <p>_____</p>			
<p>4. Does the applicant have a Hazard Mitigation proposal or would the applicant like technical assistance for a hazard mitigation proposal? Include completed Application for Hazard Mitigation Form.</p> <p><input type="checkbox"/> Yes   <input type="checkbox"/> No   <input type="checkbox"/> Unsure   Comments _____</p> <p>_____</p>			
<p>5. Is the damaged facility on the National Register of Historic Places or the state historic listing? Is it older than 50 years? Are there more, similar buildings near the site? Include completed Historic Review Assessment Form.</p> <p><input type="checkbox"/> Yes   <input type="checkbox"/> No   <input type="checkbox"/> Unsure   Comments _____</p> <p>_____</p>			
<p>6. Are there any pristine or undisturbed areas on, or near, the project site? Are there large tracts of forestland?</p> <p><input type="checkbox"/> Yes   <input type="checkbox"/> No   <input type="checkbox"/> Unsure   Comments _____</p> <p>_____</p>			
<p>7. Are there any hazardous materials at or adjacent to the damaged facility and/or item of work?</p> <p><input type="checkbox"/> Yes   <input type="checkbox"/> No   <input type="checkbox"/> Unsure   Comments _____</p> <p>_____</p>			
<p>8. Are there any other environmentally or controversial issues associated with the damaged facility and/or item of work?</p> <p><input type="checkbox"/> Yes   <input type="checkbox"/> No   <input type="checkbox"/> Unsure   Comments _____</p> <p>_____</p>			
COMPLETED BY:			DATE
ADEM REVIEWED BY:			DATE

## APPENDIX C

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### Project Formulation Job Aid

#### General

The Public Assistance Program focuses on responding to the needs of the applicant and project formulation is one of the techniques used to implement this concept. Work is organized according to an applicant's recovery needs and is identified on a *Project Worksheet (PW)*.

- The Public Assistance Coordinator (PAC) and applicant discuss project formulation at the Kickoff Meeting.
- Projects can be formulated in various ways and combinations depending upon an applicant's needs and desires. Emergency work and permanent work can only be combined when the emergency work is incidental to the permanent work.
- Projects with Special Considerations may be formulated separately, if desired, and submitted to the PAC to immediately begin to resolve the special consideration issue.
- Project formulation cannot be used to avoid complying with eligibility requirements.
  - ❑ Example: Repair of damage that is routine maintenance or is required due to pre-disaster condition cannot be included in a project for eligible work.
- The applicant may do the actual project formulation after discussion with the PAC on the various grouping options.

**Note: Project formulation may create large projects under certain conditions. See the discussion below.**

#### Project Formulation Methods

There are several ways to formulate projects. The following are just some of the ways work may be associated. Remember that project formulation must involve reasonably associated work.

#### Type of Damage

This will probably be one of the most common methods as discussed in Solution 1 to the situation discussed below. It can be applied very effectively to most damages. An electrical, water, sewerage or other utility may have suffered extensive damages. All eligible damages to the system could be formulated into one project.

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### **Boundaries**

An applicant may have divided a utility system into sectors or its road department into division.

- Damages in each sector or division could be formulated into one project.
- Damages could be grouped by type of damage within a sector.

### **Method of Work Completion**

A county could have extensive damages to its road system that are being repaired by contract or a combination of contract and force account.

- Each contract could be a project.
- A group of contracts let to one contractor could be a project.
- Damages repaired by force account could be formulated into one or more projects.

### **Complex**

A school board could have extensive damages to several facilities at a complex, e.g., high school campus.

- All of the damages to the school could be formulated into one project.
- Some projects could be formulated by type of damages such as all roof repairs.
- All repairs done by a single contractor could be formulated into one project.
- All repairs done by force account could be one project.

### **CAN PROJECT FORMULATION CREATE A LARGE PROJECT? YES!**

\*\* Note: This only applies to Federal Declaration \*\*

At least five different solutions can be applied to the same situation described below. Four solutions result in large projects.

#### **Situation**

A county road traversing the length of the applicant's county has six eligible damage sites each under \$ (small Project) amount.

#### **Solution 1**

The applicant has repaired the damages using force account and kept separate records for each damage site. The applicant will complete a *PW* for each site. There will be six small project *PWs*.

#### **Solution 2**

The applicant has repaired the damages using force account and kept separate records for each damage site. The applicant decides to group these six sites into one project. The total amount of the eligible repair costs is \$72,546.00. Formulation has created a large project.



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**Solution 3**

The applicant has repaired the damages using force account, but only one site was documented separately. The applicant decides to create *PWs* as his documentation exists so he has one large project (representing 5 sites) and one small project.

**Solution 4**

The applicant tells the PAC that they have let a contract to a single contractor to do all the repairs. The contract cost is \$78,885.00. The applicant determines that this is a large project since the cost is over the \$(small project) threshold. The decision is based on the contract amount, even though the bid may have been by separate site. The PAC will request the Resource Coordinator to assign a Project Officer. Processing of this project will follow large project procedures.

**Solution 5**

The applicant tells the PAC that they will repair the damages using force account. The applicant will not keep separate records for each damage site. There will be no way to determine how much was spent at each site. The applicant's estimate to do the work is \$75,000.00. The applicant determines that this is a large project. The PAC will request the Resource Coordinator to assign a Project Officer. Processing of this project will follow large project procedures.

### Project Formulation Job Aid (continued)

This chart outlines methods to formulate projects. Keep in mind that emergency work and permanent work can only be combined when the emergency work is incidental to the permanent work.

Method	Example	Possible Projects
Type of Damage	Debris removal, roads and bridges, public buildings and utilities	Can be applied very effectively to most damages.
System	Electrical, water, sewerage or other utility	All damage to system could be formulated into one project.
Boundaries	A utility system could have been divided into sectors. A road department could have been divided into divisions.	Damages in each sector or division could be formulated into one project. Damages of the same type within a sector could be formulated into one project.
Method of Work Completion	Work is being done by contract or a combination of contract and force account.	Each contract could be a project. Contracts let to one contractor could be a project. Damages repaired by force account could be formulated into one or more projects.
Complex	A school board could have extensive damages to several facilities (which are covered by the same insurance policy).	All of the damages to the school could be formulated into one project. Some projects could be formulated by type of damage, such as roof repairs at all schools in the same school district. All repairs done by a single contractor could be formulated into one project (cover repairs at multiple schools). All repairs done by force account could be formulated into one project
Other	Applicant specific	Project formulation is flexible to support the applicant.

# APPENDIX D

<b>ARIZONA DIVISION OF EMERGENCY MANAGEMENT PROJECT WORKSHEET FORM</b>			<b>PW No.</b>	
<b>PCA NO:</b>		<b>DATE:</b>	<b>PRIMARY CATEGORY</b>	<b>OTHER CATEGORY(S)</b>
<b>DAMAGE FACILITY:</b>			<b>WORK COMPLETE AS OF:</b> _____ : _____ %	
<b>APPLICANT:</b>			<b>COUNTY:</b>	
<b>LOCATION:</b>			<b>LATITUDE</b>	<b>LONGITUDE</b>
<b>DAMAGE DESCRIPTION AND DIMENSIONS:</b>				
<b>SCOPE OF WORK</b>				
<b>COMPLETED SPECIAL CONSIDERATION FORM MUST BE ATTACHED</b>				
Does the Scope of Work change the pre-disaster condition at site? <input type="checkbox"/> Yes <input type="checkbox"/> No				
Is there insurance coverage on the facility? <input type="checkbox"/> Yes <input type="checkbox"/> No    Hazard Mitigation proposal included? <input type="checkbox"/> Yes <input type="checkbox"/> No				
<b>PROJECT COST</b>				
<b>ITEM</b>	<b>NARRATIVE</b>	<b>QUANTITY/ UNIT</b>	<b>UNIT PRICE</b>	<b>COST</b>
		/		
		/		
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		/		
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		/		
		/		
		/		
		/		
		/		
			<b>TOTAL COST</b>	
<b>PREPARED BY:</b> (Please Print)				

ADEM Reviewer

**What Work Is Eligible?**

Status	Eligibility Requirements
Debris Removal	<ul style="list-style-type: none"><li>Work must be a direct result of the declared event.</li><li>Work must have been performed within designated area.</li><li>Work must be the legal responsibility of the applicant.</li><li>Work must eliminate immediate threat to public lives, health and safety.</li><li>Work must eliminate immediate threat of significant damage to improved public or private property.</li><li>Work must ensure economic recovery of the affected community to the benefit of the community at large.</li><li>Work must not fall under the responsibility of any Other Federal Agency (OFA).</li><li>Salvage value or insurance proceeds must be deducted.</li></ul>
Emergency Protective Measures	<ul style="list-style-type: none"><li>Measure must be a direct result of the declared event.</li><li>Measure must have been performed within designated area.</li><li>Measure must be the legal responsibility of the applicant.</li><li>Measure must eliminate immediate threat to public lives, health and safety.</li><li>Measure must eliminate immediate threat of significant damage to improved public or private property.</li><li>Measure must ensure economic recovery of the affected community to the benefit of the community at large.</li><li>Salvage value or insurance proceeds must be deducted.</li></ul>
Permanent Restoration	<ul style="list-style-type: none"><li>Restoration must be direct result of the declared event.</li><li>Restoration must have been performed within designated area.</li><li>Restoration must be the legal responsibility of the applicant.</li><li>Restored facility must be in active use.</li><li>Restoration must not fall under the responsibility of any Other Federal Agencies (OFA).</li><li>Salvage value or insurance proceeds must be deducted.</li></ul>

### What Cost Is Eligible?

Cost Type <sup>1</sup>	Nature of Cost	Details
Labor <sup>2</sup>	<ul style="list-style-type: none"> <li>Force Account</li> </ul>	<p>Regular time and overtime labor costs are eligible for permanent restoration work. Only overtime labor costs are eligible for emergency work.</p> <p>An organization's pre-disaster policy on overtime will determine whether or not the organization is reimbursed for overtime work by salaried employees.</p> <p>Fringe benefits associated with disaster-related labor costs are eligible.</p>
	<ul style="list-style-type: none"> <li>Temporary</li> </ul>	<p>Regular and overtime labor costs for temporary staff hired specifically to perform disaster-related work is eligible for reimbursement.</p> <p>Fringe benefits for temporary labor may vary from permanent labor and will be dependent upon an organization's pre-disaster labor policy.</p>
	<ul style="list-style-type: none"> <li>Part-time</li> </ul>	<p>Excess regular and overtime costs for part-time employees (only for hours worked over their normal work schedule), are eligible for reimbursement.</p> <p>Fringe benefits associated with disaster-related costs are eligible.</p> <p>Benefits for part-time labor may vary from permanent labor and will be dependent upon an organization's pre-disaster labor policy.</p>
	<ul style="list-style-type: none"> <li>Volunteer</li> </ul>	<p>Organizations that use volunteer labor to perform eligible work receive credit for that labor to help them meet the non-Federal portion of the cost share. This credit can only be applied to Emergency Work categories.</p> <p>Volunteer labor will be valued at the prevailing rate for the work being performed.</p>
	<ul style="list-style-type: none"> <li>Contract</li> </ul>	<p>Contract labor to perform disaster-related work is eligible for reimbursement. Generally, contracts must be competitively bid; an applicant must follow State and Local procurement procedures.</p> <p>In instances where emergency work must be completed immediately to reduce the threat to life, public health or safety, utilize emergency procurement procedures.</p>

<sup>1</sup> Disaster work will not be funded if payment is contingent on receiving grant funding from ADEM or FEMA.

<sup>2</sup> Supporting documentation should include a summary report of hours worked by employee for both regular and overtime and the respective fringe benefit costs or rate. Furthermore, this summary should be supported by individual time and attendance records, which differentiate the number of hours, worked on disaster-related work and detailed description of the work performed.

### What Cost is Eligible?

Cost Type	Nature of Cost	Details
Equipment <sup>3</sup>	Rented/leased	The cost of the rented/leased equipment is eligible, along with normal equipment operating expenses, such as fuel and supplies. Maintenance costs are the responsibility of the lessor, unless otherwise stated in the lease agreement. The organization should follow its established business practices when renting equipment.
	Applicant-owned	Organizations using their own equipment in the response and recovery effort will be reimbursed based on either the FEMA equipment rates or the organization's (pre-disaster) internally-developed equipment usage rate, <b>whichever is lower</b> . Only the time the equipment is <b>actually</b> in use is eligible. Standby time and idle time are not eligible. However, if a applicant uses equipment intermittently for more than half the normally scheduled working hours for a given day, use for the entire day may be claimed. Equipment usage must correspond to labor hours claimed for personnel operating equipment during the course of performing eligible work. Timesheets for labor will be compared to equipment usage.
	Purchased	Equipment purchased to perform disaster-related work will be reimbursed using FEMA equipment rates based on usage. Depending on the cost of the equipment, the usage may be reimbursed based on salvage value.
Materials and Supplies <sup>4</sup>	Inventory	Organizations using an existing inventory of materials and supplies to assist in the response and recovery effort will be reimbursed for the reasonable cost of replenishing the inventory to the pre-disaster level.
	Purchased	Purchased materials and supplies will be reimbursed for the purchase prices if the organization complies with its pre-disaster procurement regulations and practices.

<sup>3</sup> Supporting documentation should include a summary noting whether the equipment is owned or rented and the daily usage.

<sup>4</sup> Supporting documentation should include an inventory listing or invoices and receipts for purchased items.

## How Much Is Eligible?

Item	Eligibility for Reimbursement
Contract Labor for Emergency Work (as opposed to using permanent employees)	<ul style="list-style-type: none"> <li>Contract labor for emergency work is eligible. However, if the work performed is essentially identical to the organization's normal work functions, then permanent employee labor should be used and any temporary labor needed can be hired with full reimbursement for regular and overtime costs.</li> </ul>
Project Management <sup>5</sup>	<ul style="list-style-type: none"> <li>Actual costs associated with the direct management of a large/complex projects are reimbursable.</li> </ul>
Indirect Costs <sup>6</sup>	<ul style="list-style-type: none"> <li>Indirect costs are not eligible for reimbursement.</li> </ul>
Temporary Relocation	<ul style="list-style-type: none"> <li>Only those applicants who provide essential community services are eligible for relocation costs.</li> </ul>
	<ul style="list-style-type: none"> <li>Essential community services are those that are necessary to save lives and/or to protect and preserve property or public health and safety. They include:</li> </ul>
	<ul style="list-style-type: none"> <li>Medical facilities including hospitals, outpatient facility, rehabilitation facility or facility for long-term care as defined by Section 645 of the Public Health Service Act.</li> </ul>
	<ul style="list-style-type: none"> <li>Custodial care facility providing institutional care for persons requiring close supervision and some physical constraints on their daily activities.</li> </ul>
	<ul style="list-style-type: none"> <li>Emergency facilities including fire departments, police departments, search and rescue teams, and ambulances</li> </ul>
	<ul style="list-style-type: none"> <li>Utility facilities for generation, transmission, distribution and maintenance of electric power, telephone, sewer and water, and gas</li> </ul>
	<ul style="list-style-type: none"> <li>Homeless shelters.</li> </ul>
	<ul style="list-style-type: none"> <li>Facilities that provide essential health and safety services of a governmental nature, such as:</li> </ul>
	<ul style="list-style-type: none"> <li>Low-income housing</li> </ul>
	<ul style="list-style-type: none"> <li>Alcohol and drug rehabilitation</li> </ul>
	<ul style="list-style-type: none"> <li>Refuge for battered persons</li> </ul>
	<ul style="list-style-type: none"> <li>Food programs.</li> </ul>

<sup>5</sup> The term project management may be used to indicate construction project management or management of a FEMA-reimbursed project. Construction project management costs are those direct costs incurred to manage a construction project. Generally, to evidence direct costs, a project manager must keep a log of the tasks and time spent performing those tasks. Some specific project management tasks include review of bids, work site inspections, checking and approving material samples, review of shop drawings and change orders, review of contractor's request for payment, and acting as an owner's representative.

<sup>6</sup> Indirect costs are expenses that are not fully and directly attributable to a project. Indirect costs can include labor items such as human resources, finance, systems support and development, legal, payroll, administration and management, and supervisory personnel. Other indirect costs that are often pooled and allocated on a percentage basis include, but are not limited to, phone, copier, rent, facsimile, debt service, facility management, and utility expenses, among others.

## How Much Is Eligible?

Item	Eligibility for Reimbursement
Temporary Relocation (continued)	<p>It is important to note that there are some facilities that provide essential services of a governmental nature and are open to the general public but are not an essential community service. These include:</p> <ul style="list-style-type: none"> <li>Museums</li> <li>Zoos</li> <li>Community centers</li> <li>Libraries (other than school libraries)</li> <li>Senior citizen centers</li> <li>Rehabilitation facilities</li> <li>Shelter workshops</li> </ul> <p>The program reimburses temporary relocation of an essential community service until the applicant's facility is habitable again. Due to the essential service provided by the applicant, it is expected that the repair or reconstruction of the permanent facility will be expedited. Normally, the period of time for which temporary relocation assistance may be provided is 6 months, based on the regulatory time limitation for the completion of emergency work.</p>
Examples of activities not eligible for reimbursement	<ul style="list-style-type: none"> <li>Property tax re-assessments</li> <li>Disaster Reception Centers (DRCs)</li> <li>Housing programs</li> <li>Consumer task forces</li> </ul>